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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

35.G2573

First Named Inventor or Application Identifier

KEN-ICHI OHTA

Express Mail Label No.

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)

2. ☒ Specification Total Pages

3. ☒ Drawing(s) (35 USC 113) Total Sheets

4. ☒ Oath or Declaration Total Pages

- a. ☒ Newly executed (original or copy)  
b. ☐ Unexecuted for information purposes  
c. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
**[Note Box 5 below]**

i. ☐ DELETION OF INVENTOR(S)  
Signed Statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).

5. ☐ Incorporation By Reference (useable if Box 4c is checked)  
The entire disclosure of the prior application, from which a copy of the  
oath or declaration is supplied under Box 4c, is considered as being  
part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)

7. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

- a. ☐ Computer Readable Copy  
b. ☐ Paper Copy (identical to computer copy)  
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## ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & document(s))  
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)  
10. ☐ English Translation Document (if applicable)  
11. ☐ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations  
12. ☐ Preliminary Amendment  
13. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)  
14. ☐ Small Entity ☐ Statement filed in prior application  
Statement(s) Status still proper and desired  
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)  
16. ☐ Other: \_\_\_\_\_

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_/\_\_\_\_

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CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c))	21-20 =	1	X \$ 18.00 =	\$18.00
	INDEPENDENT CLAIMS (37 CFR 1.16(b))	3-3 =	0	X \$ 78.00 =	\$0
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))			\$260.00 =	\$0
				BASIC FEE (37 CFR 1.16(a))	\$690.00
				Total of above Calculations =	\$708.00
	Reduction by 50% for filing by small entity (Note 37 CFR 1.9, 1.27, 1.28).				
				TOTAL =	\$708.00

19. Small entity status

- a. ☐ A Small entity statement is enclosed
- b. ☐ A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.
- c. ☐ Is no longer claimed.

20. ☒ A check in the amount of \$ 708.00 to cover the filing fee is enclosed.

21. ☒ A check in the amount of \$ 40.00 to cover the recordal fee is enclosed.

22. The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 06-1205:

- a. ☒ Fees required under 37 CFR 1.16.
- b. ☒ Fees required under 37 CFR 1.17.
- c. ☐ Fees required under 37 CFR 1.18.

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED**

NAME	Jack M. Arnold
SIGNATURE	<i>Jack M. Arnold Reg. No. 25,823</i>
DATE	APRIL 20, 2000

TITLE OF THE INVENTION

COLOR-IMAGE PROCESSING APPARATUS AND METHOD, AND  
STORAGE MEDIUM

5

BACKGROUND OF THE INVENTION

Field of the Invention

10 The present invention relates to a color-image processing apparatus and method, and a storage medium.

Description of the Related Art

15 Recently, color work stations and so-called personal computers have been developed in which a color-image reading apparatus utilizing a CCD (charge-coupled device), or the like, a host apparatus for performing color-image processing utilizing CAD (computer aided design) and CG (computer graphics), and a color printing apparatus, such as a color laser-beam printer, a color ink-jet printer, or the like, are combined.

In such work stations or personal computers, a multicolor image can be printed.

20 Accordingly, there is the possibility that a specific original for which it is prohibited to make a copy, such as paper money, securities, or the like, is easily forged by reading the original by the color-image reading apparatus, temporarily storing the read image in the work station or the personal computer, and outputting the read image by the color printing apparatus.

25 This problem arises because the above-described image reading apparatuses, printing apparatuses, work stations and personal computers do

not have means for preventing forgery of a specific original in themselves.

### SUMMARY OF THE INVENTION

5           It is an object of the present invention to solve the above-described problem.

          It is another object of the present invention to provide a configuration in which, in a color work station, serving as a color-image processing apparatus, and a personal computer, the work station can execute  
10       determination processing for color-image data stored within the personal computer.

          It is still another object of the present invention to provide new functions.

          According to one aspect, the present invention which achieves these  
15       objectives, relates to a color-image processing apparatus including determination means for comparing color-image data stored in image storage means with a pattern stored in pattern storage means. The color-image data stored in the image storage means is read with a predetermined timing, and determination by the determination means is performed.

20           According to another aspect, the present invention which achieves these objectives, relates to a color-image processing method for comparing color-image data stored in image storage means with a pattern stored in pattern storage means includes the step of reading the color-image data stored in the image storage means with a predetermined timing, and  
25       performing determination by the determination means.

          According to still another aspect, the present invention which

achieves these objectives relates to a color-image processing apparatus, in which the above-described color-image processing method is executed by a computer, and the above-described image storage means is a hard disk.

5 According to yet another aspect, the present invention which achieves these objectives relates to a storage medium, capable of being read by a computer, including codes of a determination process for comparing color-image data stored in image storage means with a pattern stored in pattern storage means. The color-image data stored in the image storage means is read at a predetermined timing, and determination in the  
10 determination process is performed.

The foregoing and other objects, advantages and features of the present invention will become more apparent from the following description of the preferred embodiments taken in conjunction with the accompanying drawings.

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### BRIEF DESCRIPTION OF THE DRAWINGS

FIG. 1 is a block diagram illustrating a computer system according to a first embodiment of the present invention;

20 FIG. 2 is a flowchart illustrating a forgery determination operation according to the first embodiment; and

FIG. 3 is a block diagram illustrating a configuration according to a second embodiment of the present invention.

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## DESCRIPTION OF THE PREFERRED EMBODIMENTS

### First Embodiment

5 A first embodiment of the present invention will now be described with reference to the drawings.

FIG. 1 is a block diagram illustrating a computer system according to the first embodiment.

10 In FIG. 1, reference numeral 18 represents a host computer. A reader unit 11 for inputting color-image data by optically reading an original, a handy scanner 19, an external storage device 20 for reading/writing data using a magneto-optical disk, a CD(compact disc)-ROM (read-only memory), a tape device, or the like, a keyboard 17 for performing input of various data, input of a command for instructing one of various functions, or the like, by means of a key operation, a display device 12, such as a CRT (cathode-ray tube), an LCD (liquid-crystal display), or the like, for displaying an image, 15 and a printer 13 for forming an image on a recording sheet are connected to the host computer 18.

20 In the host computer 18, a memory 15 can input and temporarily store color-image data from the reader unit 11, the handy scanner 19 or the external storage device 20, and output the stored color-image data to the display device 12 or the printer unit 13. A data storage device 16, such as a hard disk, stores image data temporarily stored in the memory 15. A forgery determination unit 14 performs comparison/determination processing for image data input in the memory 15 or image data read from the data storage device 16 and transferred to the memory 15. 25

The forgery determination unit 14 includes a table which has

registered in advance image patterns peculiar to specific originals, such as paper money, securities, and the like. Image patterns peculiar to a specific original includes, for example, a two-dimensional density distribution pattern peculiar to paper money, a histogram or an appearance-frequency  
5 distribution pattern of a specific color-component signal, and electronic watermark. The degree of coincidence of a transferred image pattern with each registered pattern is detected by a well-known method.

It is desirable to register in advance a plurality of patterns, such as characteristic patterns included, for example, in Japanese yen currency or  
10 U.S. dollar currency, and common patterns printed commonly in securities and various high-price bonds.

A CPU (central processing unit) 18a controls the entire computer 18. A ROM 18b stores a program representing the flowchart shown in FIG. 2, various other control programs, and parameters. A RAM (random access  
15 memory) 18c is used as working areas for various programs. The same device may be used for the memory 15 and the RAM 18c.

Next, the operation of the first embodiment will be described.

FIG. 2 is a flowchart illustrating a forgery determination operation according to the first embodiment.

20 The operation described below is basically controlled by the CPU 18a and an OS (operating system). Timings for executing the operation will be described later.

When processing has started (step 201), the CPU 18a retrieves color-image files stored in the data storage unit 16, and assigns one image file  
25 (step 202).

Then, the CPU 18a determines if a flag indicating the execution of

forgeries determination (to be described later) is recorded in the assigned color-image file (step 203). If the result of the determination in step 203 is negative, color-image data is read from the file and is written in the memory 15 (step 204), and the image data is transferred to the forgery determination unit 14 (step 205).

Upon reception of the color-image data from the image memory 15, the forgery determination unit 14 compares the received color-image data with the image pattern of each of a plurality of specific originals. When coincidence with the image pattern of a specific original has been confirmed as a result of determination in step 206, it is determined that an image susceptible to be forged is stored in the file, and the contents of the image data are erased (altered) (step 207), and the color-image data whose contents have been erased is again stored in the data storage unit 16 with the same file name as the original image file (step 208).

At that time, a determination-execution flag indicating the execution of forgery determination is recorded in a specific region of the image file (step 209).

When it has been determined in step 206 that the color-image data does not coincide with a specific pattern, the data is not erased, and the process proceeds to step 209, where only a determination-execution flag is recorded in the corresponding image file of the data recording unit 16.

Then, it is determined if the above-described processing has been executed for all image files stored in the data storage unit 16 (step 210). If the result of the determination in step 210 is affirmative, the processing is terminated (step 211). If the result of the determination in step 210 is negative, the process returns to step 202, and the same processing is repeated



for the next image file.

As described above, according to the first embodiment, by providing a forgery determination unit for determining forgery for all image data stored in a storage device of a host computer within the host computer, forgery  
5 determination processing can be performed.

Although timings for executing the processing shown in FIG. 2 has not been described, it is effective if the processing is executed by providing, for example, the following rules.

(1) Since the host computer does not perform various types of  
10 processing by always operating the CPU, processing is started when input from the keyboard is not provided for a certain period, and the CPU does not execute specific application software. When there is an input operation from the keyboard during the processing, the processing is temporarily interrupted. At a timing such that the above-described conditions are again  
15 satisfied, the interrupted processing is resumed for unfinished color-image data.

(2) When the power supply of the host computer is turned on from an off-state, an OS is first started. At this timing, processing from step 201 to step 211 is periodically executed as a part of the processing.

20 (3) When specific application software instructs reading of an image file of the data storage unit, processing from step 203 to step 207 is executed before reading the file into a working area used by the application software.

(4) When the user instructs an operation of copying a specific image file, for example, when copying a file on a hard disk to the same hard disk, or  
25 when copying a file from the hard disk to an external storage device, such as a floppy disk, a magnetooptical disk, or the like, or in cases reverse to the

above-described cases, the OS executes processing from step 203 to step 207 for the image file to be copied, before executing the copying processing.

In this case, when coincidence with a specific image pattern is detected, for example, processing of stopping the execution of a copying operation by displaying a warning message on the display device 12 may be performed instead of erasing the image.

(5) Also when the user instructs to print a specific image file by the printer unit 13 through the keyboard 17 or a mouse, determination processing is performed in the same procedure as in the above-described item (4), and erasure of the image or stop of a printing operation is performed.

If determination processing is executed at the above-described plurality of timings or at all timings, forgery determination processing can also be assuredly executed for color-image data obtained according to various types of processing.

## 15    Second Embodiment

FIG. 3 is a block diagram illustrating a configuration according to a second embodiment of the present invention.

In FIG. 3, components 11 through 20 are the same as those shown in FIG. 1. An external interface unit 31 is added to the configuration shown in FIG. 1, and is connected to another host computer 33, a color scanner 35, a color printer 36, a file server 37, and the like, via an external communication channel 32 (in general, a network, such as Ethernet, Internet or the like, or a high-speed data transfer channel, such as IEEE 1394).

Although the host computer 33 and the file server 37 have the same basic internal configuration as the host computer 18, the host computer 33 and the file server 37 generally include data storage units 34 and 38,

respectively.

The host computer 33 executes the forgery determination processing described in the first embodiment. In the configuration of the second embodiment, however, the forgery determination processing is also executed  
5 when moving image data via the external communication channel 32, or when inputting image data from the scanner 35, or when printing image data by the printer 36.

For example, when transferring an image file stored in the data storage unit 16 within the host computer 18 to the data storage unit 34 of the  
10 host computer 33 or the data storage unit 38 of the file server 37, the processing of steps 203 – 209 shown in FIG. 2 is executed by transmitting image data to the forgery determination unit 14 before the transfer of the image file.

In another example, when transferring an image file stored in the data storage unit 16 within the host computer 18 to the printer 36 in order to  
15 print the image file, the processing of steps 203 – 207 shown in FIG. 2 is executed by transmitting image data to the forgery determination unit 14 before the transfer of the image file.

Although in the foregoing description, only image files are determined,  
20 the determination processing is not limited to the image files. The determination processing may, of course, be performed for all of ordinary document files.

As for the internal structure of a file, image data itself is stored in various formats of storage whether the file is an image file or an ordinary  
25 document file, and necessity to extract necessary data by analyzing the file by an OS or application software always exists.

For example, there exists a TIFF format as a well-known image file format. In this format, the size and the date of formation of data, the image compression method, a comment peculiar to the data, and the like, are buried in the file in the form of tags. Accordingly, before transferring the data to the  
5   forgery determination unit 14, an OS or application software, of course, extracts and transfers only two-dimensional image data (bit-map data) by analyzing the file structure in advance.

Although in the foregoing embodiments, a configuration is provided in which, when it has been determined that data in a file coincides with a  
10   specific image pattern, the image data is erased, various modifications may be considered. For example, the color of the image data may be changed, or a character string, such as "sample", may be synthesized in the data in order to prevent output of forgery even if the specific pattern is printed by a printer.

Although the forgery determination unit 14 has been described as an  
15   independent component, this unit may, of course, be provided as a program in the ROM 18b so that image data in the memory 15 or the data storage unit 16 is directly accessed and determined.

It is possible to perform determination processing at a predetermined timing for color-image data stored in image storage means (a hard disk, or  
20   the like).

It is also possible to determine color-image data stored in a hard disk.

Since determination is performed at various timings, for example, when an operation of the operator is not provided for a predetermined period while application software periodically reads color-image data, when starting  
25   a color-image processing apparatus, when copying color-image data stored in image storage means to an external storage device, when copying color-image

data from an image storage device to an external storage device, and during communication of color-image data with an external apparatus connected via a network, it is possible to improve accuracy in determination. Particularly, although determination processing is interrupted, for example, when an operation of the operator has been started, or when a CPU has started execution of application software, processing is resumed from the immediately preceding determination processing when an operation of the operator is not provided for a predetermined period or when the CPU does not execute application software. Hence, it is possible to efficiently perform determination processing.

Since information indicating end of determination is added to color-image data which has been determined, it is possible to prevent occurrence of useless determination processing due to a plurality of determination operations for the same color-image data.

#### 15 Other Embodiments

The present invention may also be applied to a processing method in which a program for operating the configuration of one of the above-described embodiments is stored in a storage medium in order to realize the functions of the embodiment, and the program stored in the storage medium is read in the form of codes and is executed by a computer, and to a storage medium storing the program.

For example, a floppy disk, a hard disk, an optical disk, a magneto-optical disk, a CD-ROM, a magnetic tape, a nonvolatile memory card, or a ROM may be used as the storage medium.

25 The present invention may be applied not only to the above-described case of executing processing only by the program stored in the storage

medium, but also to a case of executing the operation of one of the above-described embodiments by operating in an OS in cooperation with the functions of other software or expanding board.

5       The individual components designated by blocks in the drawings are all well known in the image processing apparatus and method arts and their specific construction and operation are not critical to the operation or the best mode for carrying out the invention.

10       While the present invention has been described with respect to what are presently considered to be the preferred embodiments, it is to be understood that the invention is not limited to the disclosed embodiments. To the contrary, the present invention is intended to cover various modifications and equivalent arrangements included within the spirit and scope of the appended claims. The scope of the following claims is to be accorded the  
15       broadest interpretation so as to encompass all such modifications and equivalent structures and functions.

20

25

WHAT IS CLAIMED IS:

1. A color-image processing apparatus comprising:

determination means for comparing color-image data stored in image storage means with a pattern stored in pattern storage means,

wherein the color-image data stored in said image storage means is read with a predetermined timing, and determination by said determination means is performed.

2. An apparatus according to Claim 1, wherein said color-image processing apparatus comprises a computer, and wherein said storage means comprises a hard disk.

3. An apparatus according to Claim 1, wherein the color-image data is stored in said image storage means as a file.

4. An apparatus according to Claim 1, further comprising alteration means for performing alteration for the color-image data when said determination means has determined that the color-image data coincides with the pattern.

5. An apparatus according to Claim 1, wherein said pattern storage means, said image storage means and said determination means are controlled by an operating system, and wherein the operating system periodically performs the determination for the color-image data stored in said image storage means.

6. An apparatus according to Claim 1, wherein said image storage means stores color-image data corresponding to a plurality of images, and wherein, after determining the color-image data, said determination means records information indicating end of the determination in the determined color-image data.

7. An apparatus according to Claim 6, wherein said determination means does not perform determination for the color-image data where the information indicating the end of the determination has been recorded.

8. An apparatus according to Claim 5, wherein application software operating in the operating system assigns color-image data stored in said image storage means, and wherein said determination means determines the color-image data when reading the color-image data.

9. An apparatus according to Claim 1, wherein the determination by said determination means is performed when an operation input of an operator is not provided for a predetermined period.

10. An apparatus according to Claim 1, wherein the determination by said determination means is performed when a CPU (central processing unit) of said color-image processing apparatus does not execute application software.

11. An apparatus according to Claim 1, wherein the determination by



said determination means is performed when starting said color-image processing apparatus.

12. An apparatus according to Claim 1, wherein the determination by said determination means is performed when copying the color-image data from an external storage device to said image storage means.

13. An apparatus according to Claim 1, wherein the determination by said determination means is performed when copying the color-image data from said image storage means to an external storage device.

14. An apparatus according to Claim 1, wherein the determination by said determination means is performed during communication of the color-image data with an external apparatus connected to said color-image processing apparatus via a network.

15. An apparatus according to Claim 3, wherein the color-image data is stored in said image storage means as an image file, and wherein said determination means performs determination by obtaining bit-map data other than data buried within the image file in a format of a tag.

16. An apparatus according to Claim 9, wherein, when another operation input of the operator is not provided for a predetermined period after starting an operation input of the operator, determination processing by said determination means is resumed from color-image data for which determination by said determination means is not performed.

17. An apparatus according to Claim 10, wherein, when the CPU of said color-image processing apparatus does not execute the application software after starting execution of the application software, determination by said determination means is resumed from color-image data for which determination by said determination means is not performed.

18. A color-image processing method for comparing color-image data stored in image storage means with a pattern stored in pattern storage means, said method comprising the step of:

reading the color-image data stored in the image storage means with a predetermined timing, and performing determination by the determination means.

19. A color-image processing apparatus, in which said color-image processing method according to Claim 18 is executed by a computer, and said image storage means comprises a hard disk.

20. A storage medium, capable of being read by a computer, comprising:

codes of a determination process for comparing color-image data stored in image storage means with a pattern stored in pattern storage means,

wherein the color-image data stored in the image storage means is read at a predetermined timing, and determination in the determination process is performed.

21. A storage medium according to Claim 20, wherein the image storage means comprises a hard disk.

ABSTRACT OF THE DISCLOSURE

Conventionally, a color-image processing apparatus, such as a computer, or the like, cannot determine whether or not color-image data stored in an image storage device, such as a hard disk, or the like, is an image corresponding to a specific original. According to the present invention, a color-image processing apparatus includes a determination unit for comparing color-image data stored in an image storage device with a pattern stored in a pattern storage device. The color-image data stored in the image storage device is read with a predetermined timing, and determination by the determination unit is performed. The color-image processing apparatus is a computer, and the image storage device is a hard disk.

**FIG.1**

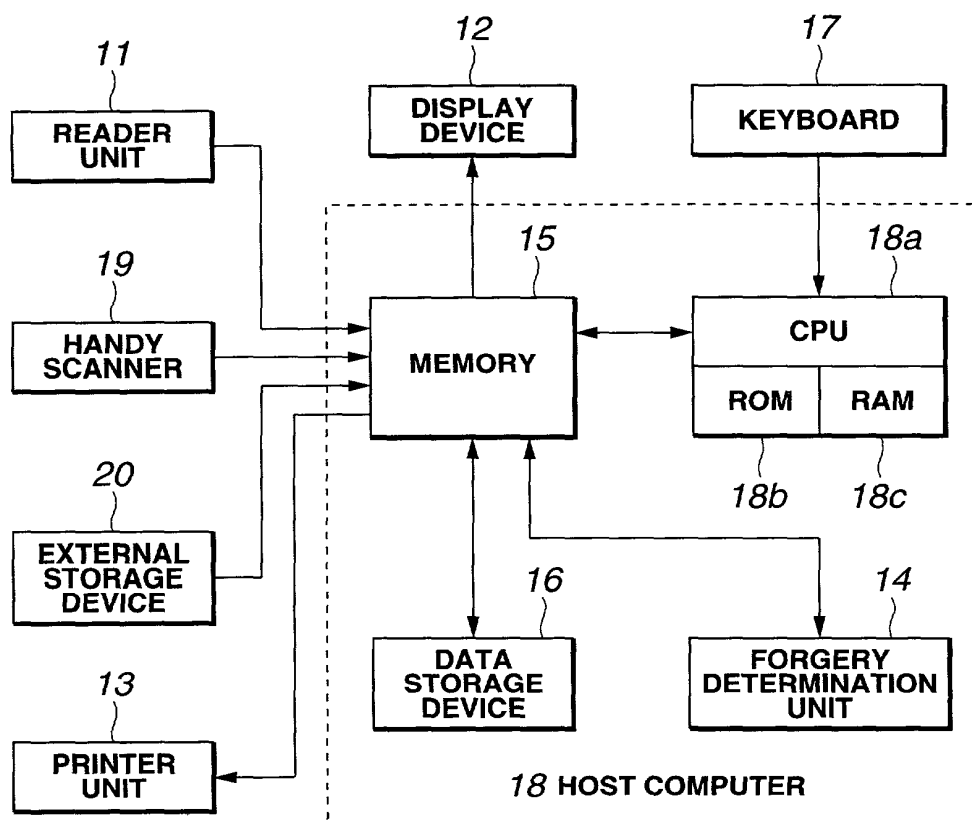
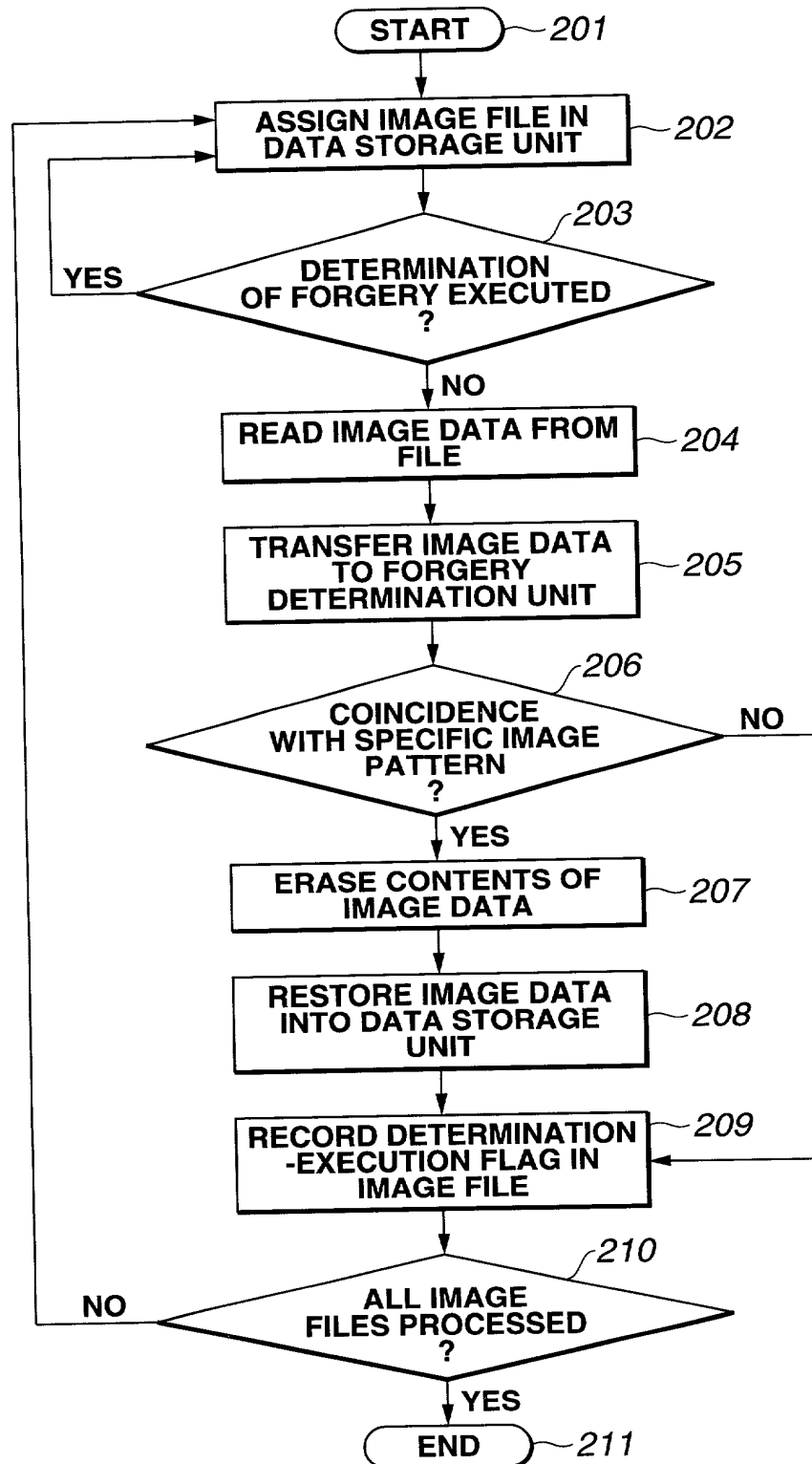
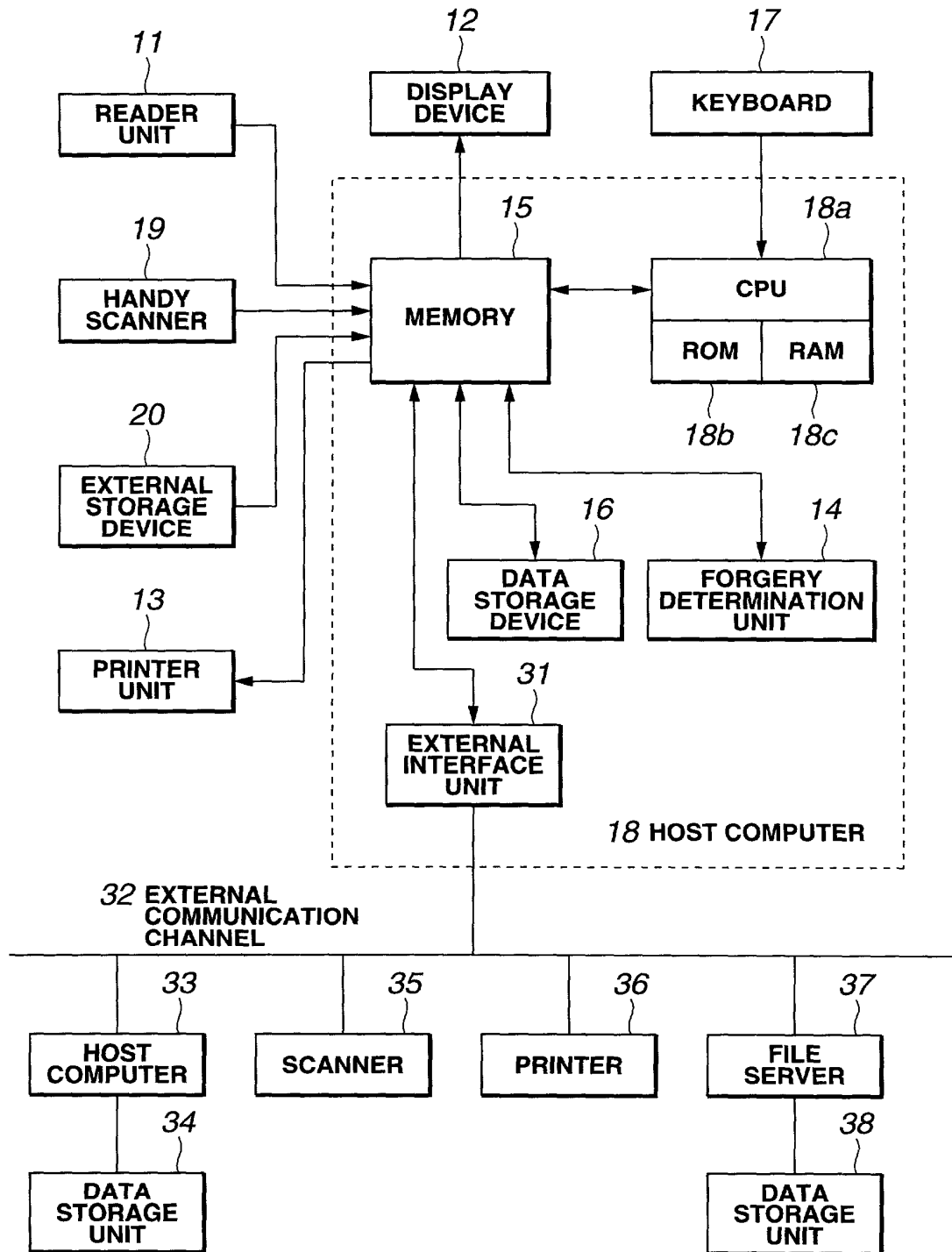


FIG.2



# FIG.3



**COMBINED DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION**  
(page 1)

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled COLOR-IMAGE PROCESSING APPARATUS AND METHOD, AND STORAGE MEDIUM the specification of which ☒ is attached hereto. ☐ was filed on \_\_\_\_\_ as United States Application No. or PCT International Application No. \_\_\_\_\_ and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR §1.56.

I hereby claim foreign priority benefits under 35 U.S.C. §119(a)-(d) or §365(b), of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT international application which designates at least one country other than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate, or PCT international application having a filing date before that of the application on which priority is claimed:

<u>Country</u>	<u>Application No.</u>	<u>Filed (Day / Mo. / Yr.)</u>	<u>(Yes / No ) Priority Claimed</u>
Japan	118143/1999 (Pat.)	26/April/1999	Yes

I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s), or §365(c) of any PCT international application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. §112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

<u>Application No.</u>	<u>Filed (Day/Mo./Yr)</u>	<u>Status (Patented, Pending, Abandoned)</u>
------------------------	---------------------------	--

I hereby appoint the practitioners associated with the firm and Customer Number provided below to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, and direct that all correspondence be addressed to the address associated with that Customer Number:

**FITZPATRICK, CELLA, HARPER & SCINTO**  
**Customer Number: 05514**

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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